

CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the United States Postal Service on this date June 1, 2001 in an envelope as "Express Mail Post Office to Addressee" Mailing Label NO. EL662089145US to the Commissioner of Patents, Washington, D.C. 20231.

Todd E. Garabedian
Name of Person Mailing Paper

Todd E. Garabedian
Signature of Person Mailing Paper

APPLICATION TRANSMITTAL UNDER 37 C.F.R. § 1.53

Transmitted herewith for filing under 37 C.F.R. § 1.53 is the patent application of:

Inventor(s): **MARINA V. BACKER and JOSEPH M. BACKER**

for:

**MOLECULAR DELIVERY VEHICLE FOR DELIVERY
OF SELECTED COMPOUNDS TO TARGET**

1. Type of Application

☒ Original ☐ Continuation ☐ Divisional
☐ Continuation-In-Part

2. Benefit of Prior Foreign Application(s) (35 U.S.C. § 119)

☐ The new application being transmitted claims the benefit of
☐ prior foreign application serial no. _____, filed on
_____ in _____ (country); or
☐ PCT international application designating at least one country
other than the U.S. application Serial no. _____, filed on
_____.

A certified copy is ☐ enclosed or ☐ on file in the prior application.

3. Benefit of Prior U.S. Application(s) (35 U.S.C. §§ 119(e) and 120)

☒ The new application being transmitted claims the benefit of prior
copending U.S. provisional application:
Serial No. 60/209,660, filed on June 6, 2000;

4. Papers Enclosed Which Are Required for Filing Under 37 C.F.R. § 1.53(b)

[47]	page(s) of Specification
[8]	page(s) of Claims, having <u>57</u> claims, including <u>7</u> independent and <u>50</u> dependent claims
[1]	page(s) of Abstract
[13]	sheet(s) of <input checked="" type="checkbox"/> formal <input type="checkbox"/> informal Drawings

5. Additional Papers Enclosed

- ☐ Preliminary Amendment
☒ Information Disclosure Statement
☒ Form PTO-1449
☒ Copies of Cited Art
☒ Other Information Disclosure Letter
Sequence Listing (paper copy and diskette)

Declaration

6. A signed declaration is ☒ enclosed ☐ not enclosed.

7. Assignment

☒ Enclosed is a recordation form and an assignment of the invention to
SibTech, Inc.

8. Small Entity Status

☒ Applicants claim small entity status:

9. Fee Calculation (37 C.F.R. § 1.16)

CLAIMS AS FILED					
	Number Filed	Number Extra		Rate	Basic Fee \$ 710.00
Total Claims	57	-20	-37-	\$18.00	\$ 666.00
Independent claims	7	-3	- 4-	\$78.00	\$ 312.00
Multiple Dependent claims, if any:				\$270.00	-0-
Total					\$1,688.00
Reduction for small entity by 50%					\$ 844.00
TOTAL FILING FEE					\$ 844.00

10. Method of Payment of Fees

- ☐ Check in the amount of \$
☒ Charge Account No. 23-1665 in the amount of \$844.00.

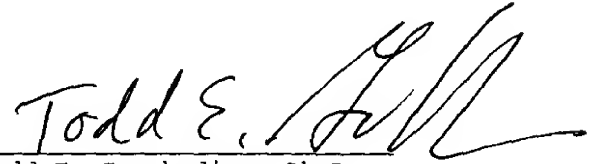
11. Authorization to Charge Additional Fees

The Commissioner is hereby authorized to charge any additional fees which may be required under 37 C.F.R. §§ 1.16 and 1.17, or credit any overpayment to Account No. 23-1665.

12. Correspondence

Please address all correspondence to:

Docket Coordinator
WIGGIN & DANA
One Century Tower
265 Church Street
New Haven, CT 06508-1832


Todd E. Garabedian, Ph.D.
Reg. No. 39,197

WIGGIN & DANA
One Century Tower
New Haven, CT 06508-1832
Tel. (203) 498-4400

Date: June 1, 2001

Backer et al.
102131-200

Express Mail EL662089145US
Mailed: June 1, 2001

Application Transmittal Letter (in duplicate)

Specification (47 pp.)

Claims (8 pp.)

Abstract (1 p.)

13 Sheets of Formal Drawings

Executed Oath and Declaration

Executed Assignment

PTO Form 1595 (in duplicate)

Information Disclosure Statement

Information Disclosure Letter

PTO Form 1449

Cited Art (12 items)

Sequence Listing (CRF and Paper)

Statement Under 37 CFR §1.821(f) Regarding Content of
Computer Readable Form and Paper Copy of Sequence Listing





UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/872,712	06/01/2001	Marina V. Backer	102131-200

CONFIRMATION NO. 4250

FORMALITIES LETTER



OC00000006293580

Docket Coordinator
WIGGIN & DANA
One Century Tower
265 Church Street
New Haven, CT 06508-1832

Date Mailed: 07/13/2001

NOTICE TO COMPLY WITH REQUIREMENTS FOR PATENT APPLICATIONS CONTAINING NUCLEOTIDE SEQUENCE AND/OR AMINO ACID SEQUENCE DISCLOSURES

Applicant is given **TWO MONTHS FROM THE DATE OF THIS NOTICE** within which to file the items indicated below to avoid abandonment. Extensions of time may be obtained under the provisions of 37 CFR 1.136(a).

- A copy of the "Sequence Listing" in computer readable form has not been submitted as required by 37 C.F.R. 1.821(e). If the effective filing date is on or after September 8, 2000, see the final rulemaking notice published in the Federal Register at 65 FR 54604 (September 8, 2000) and 1238 OG 145 (September 19, 2000). Applicant must provide an initial computer readable form (CRF) copy of the "Sequence Listing" and a statement that the content of the sequence listing information recorded in computer readable form is identical to the written (on paper or compact disc) sequence listing and, where applicable, includes no new matter, as required by 37 CFR 1.821(e), 1.821(f), 1.821(g), 1.825(b), or 1.825(d). If applicant desires the sequence listing in the instant application to be identical with that of another application on file in the U.S. Patent and Trademark Office, such request in accordance with 37 CFR 1.821(e) may be submitted in lieu of a new CRF.

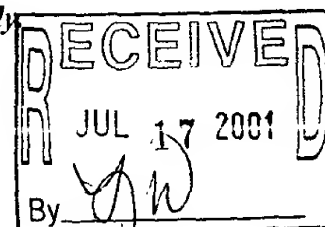
For questions regarding compliance to these requirements, please contact:

- For Rules Interpretation, call (703) 308-4216
- To Purchase PatentIn Software, call (703) 306-2600
- For PatentIn Software Program Help, call (703) 306-4119 or e-mail at patin21help@uspto.gov or patin3help@uspto.gov

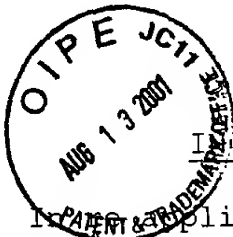
ENTERED INTO CPI
Initials Date

A copy of this notice **MUST** be returned with the reply

Customer Service Center
Initial Patent Examination Division (703) 308-1202



PART 1 - ATTORNEY/APPLICANT COPY



MA

USC
PATENT
BOX 560

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor Application : Marina V. Backer et al.
Serial No. : 09/872,712
Filed : June 1, 2001
For : MOLECULAR DELIVERY VEHICLE FOR DELIVERY
OF SELECTED COMPOUNDS TO TARGETS

Examiner :
Attorney Docket : 102131-200
Group Art Unit :
Confirmation No. : 4250

I hereby certify that this correspondence is being deposited
with the United States Postal Service as first class mail in an
envelope addressed to: Assistant Commissioner for Patents,
Washington, D.C. 20231 on 9 AUGUST 2001.

By Todd E. Garabedian
Todd E. Garabedian, Ph.D.
Registration No. 39,197
Attorney for Applicants

Assistant Commissioner for Patents
U.S. Patent & Trademark Office
Washington, D.C. 20231

AMENDMENT TRANSMITTAL LETTER

Transmitted herewith is an amendment in the above-identified
application. The fee has been calculated as shown below:

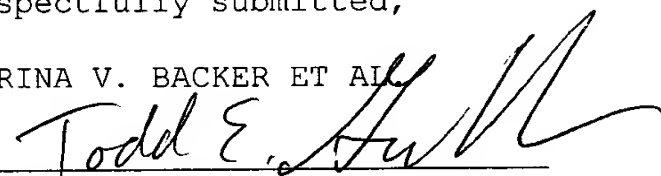
CLAIM AMENDMENT CALCULATION						
Total Claims	Claims Remaining after Amendment	Minus	Highest Number Previously paid for	No. of extra claims present	Rate	Additional Fee
Total Claims	-	-	-	0	x \$18.00	\$0.00
Indep. Claims	-	-	-	0	x \$78.00	\$0.00
Multiple Dependent claims(if any)					x \$260.00	\$0.00
Reduction for Small Entity (50%)						-\$0.00
TOTAL FEE						\$0.00

- ☒ No additional fee is required.
- ☐ A check in amount of \$ _____ is attached.
- ☐ Charge \$ _____ to Deposit Account No. 23-1665.
Two additional copies of this transmittal are enclosed.
- ☒ **Please charge any additional fees or credit overpayment to Deposit Account No. 23-1665.**
- ☐ A Petition and Fee for Extension of Time is enclosed.
- ☒ The following additional items are enclosed:
- Copy of Notice to Comply
Response to Notice to Comply
Substitute Sequence Listing (paper copy)
Substitute Sequence Listing (diskette, CRF)
Copy of June 1, 2001 Application Transmittal
Letter and Express Mail Certificate.

Respectfully submitted,

MARINA V. BACKER ET AL

By


Todd E. Garabedian, Ph.D.
Registration No. 39,197
Attorney for Applicants

WIGGIN & DANA
One Century Tower
New Haven, CT 06508

Telephone: (203) 498-4400
Fax: (203) 782-2889

Date: 9 AUGUST 2001